

## CHAPTER VII

### REVIEW COMPLETION, CORRECTIVE ACTION, DISPUTE RESOLUTION, AND ANNUAL BAM ADMINISTRATIVE DETERMINATION

1. Introduction. Monitoring of SESA BAM operations by the Regional Offices is a continuing process. It is pursued at intervals during the year for the purpose of assessing the status of the State agency in meeting the requirements of BAM! methodology and in its performance of BAM case investigation. Regional Office review is of three types: Methods and Procedures (M & P) Reviews of SESAs (biennially), program reviews performed throughout the year, and a final review covering cumulative performance for the program year. Examples of the BAM facets covered by progress and final reviews are: case investigation, SESA sample selection, and timeliness of case completion.

Except for Regional office case reviews, other progress reviews will culminate in one of three possible findings by the monitor. These findings are:

- that the SESA meets the BAM requirement(s);
- that the SESA does not meet the BAM requirement but agrees to make corrections needed; and
- that the SESA does not meet the BAM requirement and does not agree to make corrections needed.

Chapters II, III, IV, and V provide guidance for scheduling and conducting BAM program reviews. This chapter describes action necessary on the part of the Regional monitor, subsequent to a SESA monitoring visit. This is to keep the SESA and National Office informed of adequate performance or to ensure that problems or exceptions that may be identified during reviews are dealt with so that the SESA's BAM program meets BAM requirements by the end of the program year. Such follow-up actions by the Region will generally lead to review completion. They also will result in the creation of a monitoring record of each SESA's developing BAM operation, culminating each year in an Annual BAM Administrative Determination of the SESA's overall BAM program performance.

2. Achieving Review Completion. The review process is a series of assessments undertaken during the monitoring year to document and inform the SESA periodically about what progress it has made in meeting established BAM methodology and procedural requirements. A review can be completed initially based upon acceptable progress review findings, or it may be completed following the outcome of successful corrective action

or dispute resolution. Altogether, there are seven areas of SESA BAM review: organization, authority, written procedures, standard BAM forms, SESA sample selection and assignment, timeliness of case completion, and case investigative performance.

When the finding of a final review or a progress review shows that the SESA meets for is making progress that ensures that it will meet) applicable BAM requirements, there are a number of steps to be followed by the monitor to ensure closure or completion of the review process. These steps are:

- Complete the appropriate BAM review worksheet (e.g., QC-3, QC-4, etc.) and assemble adequate documentation to justify the review finding.
- Notify SESA of finding, usually in close-out conference between monitor and the BAM supervisor.
- Summarize review findings.
- Maintain summary review notes and BAM worksheets in Regional office file.
- Report findings and appropriate explanation to the National Office in the semi-annual comprehensive report. See Chapter VIII.

### 3. BAM Corrective Action Process

a. Initiating the BAM Corrective Action Process: When a monitor and the SESA agree that a problem exists in the BAM program, and that corrective action is appropriate, it is necessary to define the scope of the problem. It may be confined within the BAM unit, or it may extend to UI program areas outside of the BAM unit.

Each Regional monitor should have a clear understanding of Regional policy before engaging State UI personnel in planning BAM corrective action. In some instances, it may be appropriate for the monitor to initiate the process with SESA staff while on site. In others, the appropriate procedure may be for the monitor to discuss the issue with the BAM teamleader, other Regional Office program staff, and/or the UI Regional Director before undertaking the resolution of a problem with the SESA. This may be especially important in situations where the BAM unit lies outside regular UI operations, e.g., Administrative Management Services, Research and Analysis, or Administration. Having made this determination, the monitor is ready to work with the SESA in the development of a corrective action plan.